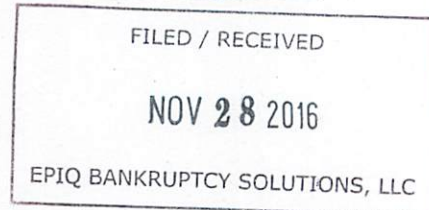


Basel, 23 November 2016

Form 210A (10/06)

**United States Bankruptcy Court  
Southern District Of New York**



In re Lehman Brothers Holdings Inc., et al.,

Case Nos. 08-13555 (JMP)  
(Jointly Administered)

**NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR  
SECURITY, PURSUANT TO FED. R. BANKR. P. 3001(e)(2)**

A CLAIM HAS BEEN FILED IN THIS CASE, by Union Bancaire Privée, UBP SA (the "Transferor"), against Lehman Brothers Holdings Inc., which has been designated as Claim No. 55521 (the "Claim"). Transferee (as that term is defined below) hereby gives evidence and notice, pursuant to Fed. R. Bankr. P. Rule 3001(e)(2), of the transfer, other than for security, of the Claim, in the nominal amount of CHF 650,000 (the "Transferred Portion"). For the avoidance of doubt, the Transferred Portion relates to ISINs XS0341522687, ANN5214A6406 and XS0220100183. A copy of the Evidence of Transfer of Claim (the "Evidence of Transfer") is attached hereto as Exhibit "A" and is incorporated by reference.

Name of Transferee

Bank J. Safra Sarasin Ltd

**Name and Address where notices to Transferee  
should be sent:**

Bär & Karrer AG  
Brandschenkestrasse 90  
CH-8027 Zurich  
Switzerland  
Attn: Peter Hsu  
Tel.: +41 58 261 50 00

**- with a copy to -**

Bank J. Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland  
Attn: Frank Link, Senior Legal Counsel, Legal  
Clients & Corporate  
Tel.: +41 (0) 58 317 45 83  
Patrick Gribi, Head Legal  
Tel.: +41 (0) 58 317 40 67

Last Four Digits of Acct #: 4002

Name of Transferor

Union Bancaire Privée, UBP SA

**Name and Address where notices  
to Transferor should be sent:**

Union Bancaire Privée, UBP SA  
Rue du Rhône 96-98  
PO Box 1320  
CH-1211 Geneva  
Attn: Eric Schott  
Tel.: +41 58 819 21 11

Last Four Digits of Acct. #: N/A

Name and Address where transferee payments  
should be sent (if different from above):

Bank J. Safra Sarasin Ltd

Elisabethenstrasse 62,

P.O. Box

CH-4002 Basel

Switzerland

Attn: Frank Link, Senior Legal Clients & Corporate

Tel.: +41 (0) 58 317 45 83

Patrick Gribi, Head Legal

Tel.: +41 (0) 58 317 40 67

Court Claim # (if known): 55521

Date Claim Filed: October 29, 2009

Transferred Portion: USD 650,000  
(nominal amount)

I declare under penalty of perjury that the information provided in this notice is true and correct  
to the best of my knowledge and belief.

By: f. Link

Transferee

Name: Frank Link

Title: Director

Date: 23 November 2016

By: N. Wahl

Transferee

Name: Nicole Wahl

Title: Vice President

Date: 23 November 2016

*Penalty for making a false statement:* Fine of up to \$500,000 or imprisonment for up to 5 years,  
or both. 18 U.S.C §§ 152 & 3571.



Exhibit A



UNION BANCAIRE PRIVÉE

**EVIDENCE OF TRANSFER OF CLAIM****TO: THE DEBTOR AND THE BANKRUPTCY COURT**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **UNION BANCAIRE PRIVÉE, UBP SA** ("Transferor") unconditionally and irrevocably transferred to **Bank J. Safra Sarasin Ltd** all of its right, title, interest claims and causes of action in and to or arising under or in connection with its claim (Claim No. **55521**) in nominal amount of USD 650'000 **equal to an allowed claim of USD 577'762.43** related to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS EXECUTED  
THIS 7<sup>th</sup> September 2016.

**UNION BANCAIRE PRIVÉE, UBP SA**

Julien Gavard  
Director

Eric Schott  
Associate

**UNION BANCAIRE PRIVÉE, UBP SA**

Genève

Rue du Rhône 96-98 | CP 1320 | 1211 Genève 1, Suisse  
Tél. +41 58 819 21 11 | Fax +41 58 819 22 00  
ubp@ubp.ch | www.ubp.com



UNION BANCAIRE PRIVÉE

**Schedule I**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

ISIN / Description	Court Claim	Date Claim Filed	Issuer	Nominal amount
ISIN XS0220100183	55521	29th October 2009	Lehman Brothers Treasury BV	USD 100'000
ISIN ANN5214A6406	55521	29th October 2009	Lehman Brothers Securities NV	USD 300'000
ISIN XS0341522687	55521	29th October 2009	Lehman Brothers Securities NV	USD 250'000

UNION BANCAIRE PRIVÉE, UBP SA

Genève

Rue du Rhône 96-98 | CP 1320 | 1211 Genève 1, Suisse

Tél: +41 58 819 21 11 | Fax +41 58 819 22 00

ubp.ch | www.ubp.com





**J. SAFRA SARASIN**



Sustainable Swiss Private Banking since 1841

**By courier**

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Claims  
Processing  
757 Third Avenue, 3<sup>rd</sup> Floor  
New York, NY 10017  
USA

Basel, 23 November 2016

Your contact: Frank Link, T: +41 58 317 45 83

**Transfers of Claim other than for Security, Epiq Claims No. 55500 and 55521**

Dear Madam, dear Sir,

Bank J. Safra Sarasin Ltd is sending you herewith the enclosed 2 original copies of the completed 210A transfer forms, including copies of the evidence of transfer of claim regarding the transfer of claims (referring to claims no. 55500 and no. 55521) against Lehman Brothers Holdings Inc. by the following transferor:

Union Bancaire Privée, UBP SA, Rue du Rhône 96-98, P.O. Box 1320, CH-1211 Geneva

Yours sincerely  
Bank J. Safra Sarasin AG

Nicole Wahl,  
Vice President

Frank Link  
Director

Enclosures



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FILED / RECEIVED  
NOV 28 2016  
EPIQ SYSTEMS

